

01-03-02

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | |
|------------------------|---|
| Attorney Docket No. | Hartford-9 |
| First Inventor | Mendizabal, et al. |
| Title | Method and System for Auctioning Bankruptcy |
| Express Mail Label No. | EV043786200US |

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages 20]
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets 8]
5. Oath or Declaration [Total Pages 4]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
10. 37 CFR 3.73(b) Statement Power of Attorney
(when there is an assignee)
11. English Translation Document (if applicable)
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. Other:

18. If a CONTINUATING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part (CIP) of prior application No.: /

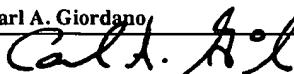
Prior application information: Examiner _____ Group / Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label 
(Insert Customer number or Bar Code Label here) or Correspondence address below

| | | | |
|---------|-------------------------|----------|-----|
| Name | 28581 | | |
| | PATENT TRADEMARK OFFICE | | |
| Address | | | |
| City | State | Zip Code | |
| Country | Telephone | | Fax |

| | | | |
|-------------------|---|-----------------------------------|-------------------|
| Name (Print/Type) | Carl A. Giordano | Registration No. (Attorney/Agent) | 41,780 |
| Signature |  | Date | December 28, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

\$740.00

Complete if Known

| | |
|----------------------|-------------------|
| Application Number | Herewith |
| Filing Date | Herewith |
| First Named Inventor | Mendizabal et al. |
| Examiner Name | TBA |
| Group Art Unit | TBA |
| Attorney Docket No. | Hartford-9 |

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **04-1679**

Deposit Account Name

 Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17 Applicant claims small entity status. See 37 CFR § 1.27

2. Payment Enclosed:

 Check Credit card Money Order Other

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|-----------------|---|
| 105 | 130 | 205 | 65 Surcharge - late filing fee or oath |
| 127 | 50 | 227 | 25 Surcharge - late provisional filing fee or cover sheet |
| 139 | 130 | 139 | 130 Non - English specification |
| 147 | 2,520 | 147 | 2,520 For filing a request for <i>ex parte</i> reexamination |
| 112 | 920* | 112 | 920* Requesting publication of SIR prior to Examiner action |
| 113 | 1,840* | 113 | 1,840* Requesting publication of SIR after Examiner action |
| 115 | 110 | 215 | 55 Extension for reply within first month |
| 116 | 400 | 216 | 200 Extension for reply within second month |
| 117 | 920 | 217 | 460 Extension for reply within third month |
| 118 | 1,440 | 218 | 720 Extension for reply within fourth month |
| 128 | 1,960 | 228 | 980 Extension for reply within fifth month |
| 119 | 320 | 219 | 160 Notice of Appeal |
| 120 | 320 | 220 | 160 Filing a brief in support of an appeal |
| 121 | 280 | 221 | 140 Request for oral hearing |
| 138 | 1,510 | 138 | 1,510 Petition to institute a public use proceeding |
| 140 | 110 | 240 | 55 Petition to revive - unavoidable |
| 141 | 1,280 | 241 | 640 Petition to revive - unintentional |
| 142 | 1,280 | 242 | 640 Utility issue fee (or reissue) |
| 143 | 460 | 243 | 230 Design issue fee |
| 144 | 620 | 244 | 310 Plant issue fee |
| 122 | 130 | 122 | 130 Petitions to the Commissioner |
| 123 | 50 | 123 | 50 Processing fee under 37 CFR § 1.17(q) |
| 126 | 180 | 126 | 180 Submission of Information Disclosure Statement |
| 581 | 40 | 581 | 40 Recording each patent assignment per property (times number of properties) |
| 146 | 740 | 246 | 370 Filing a submission after final rejection (37 CFR § 1.129(a)) |
| 149 | 740 | 249 | 370 For each additional invention to be examined (37 CFR § 1.129(b)) |
| 179 | 740 | 279 | 370 Request for Continued Examination (RCE) |
| 169 | 900 | 169 | 900 Request for expedited examination of a design application |
| Other fee (specify) _____ | | | |

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description | Fee Paid |
|---------------|---------------|-----------------|--------------------------------------|
| 101 | 740 | 201 | 370 Utility filing fee 740.00 |
| 106 | 330 | 206 | 165 Design filing fee |
| 107 | 510 | 207 | 255 Plant filing fee |
| 108 | 740 | 208 | 370 Reissue filing fee |
| 114 | 160 | 214 | 80 Provisional filing fee |
| SUBTOTAL (1) | | | \$740.00 |

2. EXTRA CLAIM FEES

| Extra Claims | Fee from below | Fee Paid |
|--|----------------|---------------|
| Total Claims 16 -20** = 0 | X 0 | = 0.00 |
| Independent Claims 2 - 3** = 0 | X 0 | = 0.00 |
| Multiple Dependent | | |

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description | |
|---------------|---------------|-----------------|--|
| 103 | 18 | 203 | 9 Claims in excess of 20 |
| 102 | 84 | 202 | 42 Independent claims in excess of 3 |
| 104 | 280 | 204 | 140 Multiple dependent claim, if not paid |
| 109 | 84 | 209 | 42 ** Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 ** Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) | | | |
| \$0.00 | | | |

**or number previously paid, if greater; For Reissues, see above

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

SUBMITTED BY

Complete (if applicable)

| | | | | | |
|-------------------|-------------------------|-----------------------------------|--------|-----------|-------------------|
| Name (Print/Type) | Carl A. Giordano | Registration No. (Attorney/Agent) | 41,780 | Telephone | 609-919-4406 |
| Signature | <i>Carl A. Giordano</i> | | | Date | December 28, 2001 |

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"EXPRESS MAIL CERTIFICATE"

"Express Mail" mailing label number: EV043786200US

Date of Deposit: December 28, 2001

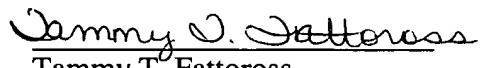
Title of Invention: **METHOD AND SYSTEM FOR AUCTIONING BANKRUPTCY ASSETS AND VALUING SAME**

Inventors: **MENDIZABAL, Lorenzo; GRUBER, JR., William R.; GORDON, Francine; MARCHICK, David ; PEREZ, Ricardo; PIERCE, Donald**

Type of Documents:

1. Utility Patent Application Transmittal;
2. Fee Transmittal Sheet;
3. Application consisting of 14 pages of specification, 5 pages of claims, 1 page of Abstract and 8 pages of drawings;
4. Declaration and Power of Attorney (unexecuted);
5. Acknowledgment Postcard; and,
6. "Express Mail" Certificate.

I hereby certify that this paper and fee are being deposited with the United States Postal Service's "Express Mail Post Office to Addressee" service under 37 CFR §1.10 on the date indicated above and is addressed to Assistant Commissioner of Patents and Trademarks, U.S. Patent and Trademark Office, "Box Application," P.O. Box 2327, Arlington, Virginia 22202.



Tammy T. Fattoross